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UNITED STATES PATENT AND TRADEMARK OFFICE
WASHINGTON, D.C. 20231
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APPLICATION NUMBER	FILING/RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NUMBER
09/894,851	06/27/2001	Jay H. Shidler	EPR-PX

CONFIRMATION NO. 3728

FORMALITIES LETTER



OC000000006441711

26793
LEIGHTON K. CHONG
OSTRAGER CHONG & FLAHERTY (HAWAII)
841 BISHOP STREET, SUITE 1200
HONOLULU, HI 96813

Date Mailed: 08/17/2001

NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION

FILED UNDER 37 CFR 1.53(b)

Filing Date Granted

An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given **TWO MONTHS** from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

- The statutory basic filing fee is missing.
Applicant must submit \$ 355 to complete the basic filing fee and/or file a small entity statement claiming such status (37 CFR 1.27).
- Total additional claim fee(s) for this application is \$54.
 ■ \$54 for 6 total claims over 20.
- The oath or declaration is unsigned.
- To avoid abandonment, a late filing fee or oath or declaration surcharge as set forth in 37 CFR 1.16(e) of \$65 for a small entity in compliance with 37 CFR 1.27, must be submitted with the missing items identified in this letter.
- The balance due by applicant is \$ 474.

A copy of this notice **MUST** be returned with the reply.

Customer Service Center
Initial Patent Examination Division (703) 308-1202
PART 1 - ATTORNEY/APPLICANT COPY

01/23/2002 SFELEK1 00000118 150699 09894851
01 FC:201 370.00 OP
02 FC:203 54.00 OP
03 FC:205 50.00 OP
15.00 CH



Receipt \$

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

-----: Atty.#: EPR-PX
In Re U.S. Patent Application Of
:
SHIDLER, ET AL.
:
Serial No.: 09/894,851
:
Filing Date: June 27, 2001
:
Title: SYSTEM FOR CREATING, PRICING &
MANAGING AND ELECTRONIC TRADING &:
DISTRIBUTION OF CREDIT RISK ...
-----:

RESPONSE TO NOTICE TO FILE MISSING PARTS

Commissioner of Patents
U.S. Patent and Trademark Office
Washington, D.C. 20231

Attn: OIPE Customer Service Center

Sir:

In response to the Notice To File Missing Parts dated August 17, 2001, Applicant herein submits:

1. The declaration signed by the nine (9) inventors.
2. Our payment of ~~\$409.00~~ for the filing fee of \$355.00 and excess claims fee of \$54. A claim is hereby made for small entity status.
3. Our payment of the required late filing fee of \$65.00 (SE), together with a copy of the Notice To File Missing Parts.

REQUEST TO CORRECT FILING RECEIPT

Please correct the official filing receipt to list the nine (9) inventors as shown in the signed inventors' declaration submitted herewith. A copy of the filing receipt with change noted thereon is enclosed.

01/23/2002 SFELEKE1 00000119 09894851

55.00 DP

01 FC:215

REQUEST FOR EXTENSION OF TIME FOR RESPONSE

This is to request a one-month extension of time, until November 19, 2001 (including weekend days) for Applicant to submit the missing parts noted above. Our check for \$55 for the time extension fee (small entity) is enclosed.

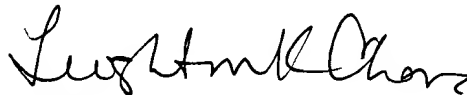
CERTIFICATE OF MAILING:

The undersigned certifies that the foregoing is being mailed on November 19, 2001, by depositing it with the U.S. Postal Service, first class postage paid, addressed to Assistant Commissioner for Patents, Washington, D.C., 20231.

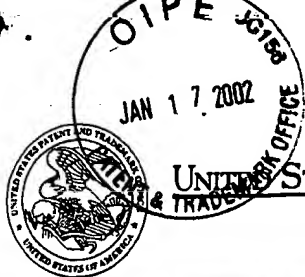
AUTHORIZATION TO CHARGE DEPOSIT ACCOUNT FOR FEE DEFICIENCY

The Commissioner is authorized to charge any deficiency in fees required for acceptance of this response to our Deposit Account No. 15-0699.

Respectfully submitted,
ATTORNEYS FOR APPLICANT



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WASHINGTON, D.C. 20231
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APPLICATION NUMBER	FILING DATE	GRP ART UNIT	FIL FEE REC'D	ATTY. DOCKET NO	DRAWINGS	TOT CLAIMS	IND CLAIMS
09/894,851	06/27/2001	2161	0.00	EPR-PX	2	26	2

CONFIRMATION NO. 3728

26793

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FILING RECEIPT



OC000000006441809

Date Mailed: 08/17/2001

Receipt is acknowledged of this nonprovisional Patent Application. It will be considered in its order and you will be notified as to the results of the examination. Be sure to provide the U.S. APPLICATION NUMBER, FILING DATE, NAME OF APPLICANT, and TITLE OF INVENTION when inquiring about this application. Fees transmitted by check or draft are subject to collection. Please verify the accuracy of the data presented on this receipt. If an error is noted on this Filing Receipt, please write to the Office of Initial Patent Examination's Customer Service Center. Please provide a copy of this Filing Receipt with the changes noted thereon. If you received a "Notice to File Missing Parts" for this application, please submit any corrections to this Filing Receipt with your reply to the Notice. When the USPTO processes the reply to the Notice, the USPTO will generate another Filing Receipt incorporating the requested corrections (if appropriate).

Applicant(s)

Jay H. Shidler, Honolulu, HI;
Robert L. Denton, New York, NY;
Thomas W. Jasper, Rye, NY;
J. Gregg Whittaker, Liberty, MO;
Alexander C. Rainsby, New York, NY;
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Alan Margol, New York, NY;
Jospeh P. Bauman, Orinda, CA;
++ Aaron A. Eberhardt, Kailua, HI

Domestic Priority data as claimed by applicant

THIS APPLN CLAIMS BENEFIT OF 60/215,199 06/29/2000
AND CLAIMS BENEFIT OF 60/215,205 06/29/2000
AND CLAIMS BENEFIT OF 60/215,200 06/29/2000
AND CLAIMS BENEFIT OF 60/215,201 06/29/2000
AND CLAIMS BENEFIT OF 60/215,202 06/29/2000
AND CLAIMS BENEFIT OF 60/215,198 06/29/2000
AND CLAIMS BENEFIT OF 60/215,203 06/29/2000
AND CLAIMS BENEFIT OF 60/215,196 06/29/2000
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AND CLAIMS BENEFIT OF 60/215,193 06/29/2000
AND CLAIMS BENEFIT OF 60/215,192 06/29/2000
AND CLAIMS BENEFIT OF 60/215,191 06/29/2000
AND CLAIMS BENEFIT OF 60/215,190 06/29/2000
AND CLAIMS BENEFIT OF 60/215,189 06/29/2000
AND CLAIMS BENEFIT OF 60/215,186 06/29/2000
AND CLAIMS BENEFIT OF 60/215,188 06/29/2000

AND CLAIMS BENEFIT OF 60/215,187 06/29/2000
AND CLAIMS BENEFIT OF 60/215,185 06/29/2000
AND CLAIMS BENEFIT OF 60/215,184 06/29/2000
AND CLAIMS BENEFIT OF 60/215,204 06/29/2000

Foreign Applications

If Required, Foreign Filing License Granted 08/17/2001

Projected Publication Date: To Be Determined - pending completion of Missing Parts

Non-Publication Request: No

Early Publication Request: No

**** SMALL ENTITY ****

Title

System for creating, pricing & managing and electronic trading & distribution of credit risk transfer products

Preliminary Class

705

Data entry by : ZEWDIE, BIZUAYEHU

Team : OIPE

Date: 08/17/2001

